

Information Technology Strategic Plan

North Carolina Industrial Commission

Strategic Plan 2008-2012

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Executive Summary

The North Carolina Industrial Commission Information Technology Office (NCIC IT) will provide the highest quality technology based services, in the most cost-effective manner, to facilitate the mission of the North Carolina Industrial Commission (NCIC). NCIC IT applies progressive technology to the promotion, protection, and management of, as well as education about, North Carolina's Information Technology Standards and Initiatives.

This Strategic IT Plan (SITP) presents a four-year program for implementing NCIC's information technology program and links the strategic vision, goals, and objectives of Information Technology Services Department (ITS) to those of NCIC IT to ensure that NCIC IT meets or exceeds agency business needs, both now and in the future.

Additionally, the SITP supports NCIC's IT's efforts to comply with statewide initiatives in the Governor's Agenda (GA), including Electronic Government (E-Government), IT Consolidation, as well as lines of business and other initiatives and requirements.

Although the following outlines a four-year technology strategy, it must be noted that the plan is expected to undergo some moderate updates during the fiscal year 2009-2010 due to the following:

- a. The absence of a current NCIC Agency Strategic Plan
- b. The completion of the ITS consolidation in 2008
- c. The recent completion of the NCIC Business Requirement Narrative for future initiatives

Quality and cost controls are achieved by simplifying and unifying processes and technology and exercising formal financial management, including capital planning and investment control.

Due to the completion of consolidation, NCIC adheres to all statewide strategies, security policies and hosting of servers. Desktop services, email and desktop support is managed by ITS. Backups of applications and data are performed by ITS, disaster recovery plans are in place.

These measures help achieve continuous improvement, higher quality, improved ability to meet/exceed service level agreements, and greater user satisfaction. They also allow us to continually drive down the cost of IT investments, improve systems availability, increase in-house knowledge, reduce variance in project costing and delivery time frames, ensure that all systems are secure, and improve access to the public.

Introduction

The North Carolina Industrial Commission was established to administer the Workers Compensation Act. The Act provides protection for workers and employers within North Carolina against loss due to work related injury or disease. The Commission also administers Death Benefit Acts for Law Enforcement Officers, Firemen, Rescue Squad Workers, and Civil Air Patrol Members. In addition, the Commission administers the Childhood Vaccine Related Injury Act, processes torts claims filed against the State of North Carolina, and tracks safety planning by employers.

The Commission's goal is to administer these programs effectively and efficiently. Due to the high volume of cases, documents, and transactions with workers, employers, insurers, law offices, and others, extensive use of technology and automation is critical to the Commission's ability to succeed.

The Commission's technology policy is conservative, using proven strategies compliant with statewide technical architecture standards to address critical information storage and processing requirements where cost benefit advantages are clear and implementation risks are low.

The plan takes into account the Commission's current and planned business processes and recent technology changes to identify high-value automation initiatives that can be exploited to achieve better, faster, and cheaper services for North Carolina workers and employers. This document defines specific information system initiatives, the scope, anticipated timelines, and budget requirements. The Commission will utilize this information to plan for, advocate, and secure funding for individual projects in the future.

No information system planning can be effective without the full involvement of the business units. This plan advocates the development of information systems in conjunction with necessary business process reforms in order to meet the Commission's key performance goals.

NCIC has a staff of approximately 150 employees. The Commission's staff process in excess of 65,000 worker's compensation cases per year. In 1974, a mainframe database application was created to track workers' compensation cases. This system is still in use today. In 1997, an Electronic Document Management System EDMS was implemented to replace paper processing and storage of worker's compensation case documents with a more efficient electronic imaging capability. This system failed in 2006. The documents have been extracted and have been migrated to a vendor solution. By the end of calendar year 2008, we expect the vendor supplied solution to be replaced. NCIC will migrate all documents to the ITS enterprise solution for document management – Documentum® (Documentum). Approximately 5 million documents will be transferred to Documentum.

The Commission's current mission-critical business systems are sorely in need of repair or replacement to the point where the Commission has no reliable way to set, measure, or

enforce case management performance standards. In addition, any further degradation of the current systems will result in costly outages of service at the Commission and the potential for unrecoverable data loss. Therefore, this plan concentrates largely on the replacement of these aging systems and the institution of information organization initiatives to strengthen IT management and control.

The primary recommendation of this plan is the phased creation of an Integrated Case Management System that replaces the mainframe application and will integrate with Documentum, combining their functions into a single system to eliminate serious operational integrity problems between the two existing systems and to allow the Commission's key performance metrics to be monitored and reported.

Each of the major initiatives of this plan is summarized below. The implementation of an Integrated Case Management System comprises Initiatives 1 and 2.

Major information technology goals and objectives

Initiative 1: Implement an Enterprise Content Management Application system (ECMS)

The NCIC will implement enterprise content management application system that could support the organization of the NCIC's digital content, whether born digitally or captured through the imaging of paper documents. The system should be able to support identification of information by the record's lifecycle, needs of business and workflow processes, public vs. restricted access, and ease of end user interaction. In addition, the system should be able to capture and manage all related records in such a way as to allow easy retrieval of all information related to a specific records request.

The capability to group records by their case number in a single application should exist, as well as the capability to identify individual records. The use of a single application by all departments would hopefully result in a more cost effective approach to the management of the information and allow for ease of sharing required information among departments, other state agencies and external resources. An emphasis should also be placed on the improvement of customer/client interaction through more efficient use of available resources. This includes electronic forms and capture by the public and attorneys in the state. Benefits are expected to be recognized at both the agency and the customer/client level.

Agency benefits realized should be:

- Reduced average record retrieval time
- Reduced amount of information retained past its lifecycle
- Reduced information redundancy
- Increased information reuse due to data consistency

- Increased information accuracy due to the use of a single-source and field edit capabilities
- Increased focus on trustworthy and encryptable data
- Improved efficiency for long-term storage and retention of electronic data
- Improved metadata through uniform data dictionaries

Customer/client benefits realized should be:

- Consistent information about the individual customer/client
- More timely responses
- On-line applications will fit the needs of the client
- Where possible, reduced need for multiple entry of the same information
- Security of information
- More efficient use of time

Initiative 2: Replace Mainframe Database Application

The proposed ECMS Phase Two project is to replace the mainframe database application that provides Worker's Compensation case tracking. The replacement functionality will be directly integrated with the new ECMS system created in Phase One, so that the result is a single case management system containing both the database tracking element of the each case file and the document images.

This will eliminate redundant entries and coordination problems that exist between the two separate systems today. For example, it is possible for a case record to exist in one system and not the other. Claimant identifying data often does not match between the two systems. When claimant data is updated in one system, it is not updated in the other. These factors cause processing errors, delays, miscommunication between business units, and wasted effort.

The ECMS Phase Two project will provide the Commission with the ability to produce effective statistical reports, allowing the Commission to more effectively plan and manage the Workers' Compensation program. A 1997 State Auditor's performance audit of the Workers' Compensation program found that 'existing statistical reports are not consistent, reliable, or standardized.' The report goes on to find that the existing process produces "statistics which do not accurately reflect the activities of the workers' compensation program. Since workers' compensation data is used by the public, businesses, state entities, and in the performance evaluations of Commission staff, it is essential that it be accurate".

In addition to the replacement of existing mainframe functions, the proposed project will absorb and integrate ad hoc applications that have necessarily been implemented at the Commission over a number of years due to limitations of the current systems. Examples include the mediation system, the medical billing system, and Excel-based production tracking at the Deputy Commissioner level, all of which have been implemented externally to both EDMS and the mainframe application. By incorporating these external

applications into an integrated case management system, the Commission will enhance productivity by eliminating redundancy and reducing errors caused by a proliferation of "islands of automation".

Initiative 3: Web Site Development - Replacement

The NCIC Web Site (<http://www.comp.state.nc.us/>) does not present a modern website presentation. It was designed in a bulletin board format with most of the information on the front page. Redesign and development is required to provide a more public friendly and stream lined website to allow easier access to the information. The website address will be changed to (<http://www.ic.nc.gov/>) in 2008.

NCIC IT Staff Adjustments

In order to be able to carry out the agency's strategic plan, the agency must be properly staffed with the appropriate resources. NCIC IT is not adequately staffed to perform all initiatives in this Strategic Plan.

The agency has acquired one additional resource, FY2008, through the Expansion Budget process, the additional resource will be utilized in the most efficient manner possible.

The team continues to conduct cross training and will utilize contractors as funding allows. These contracts will be used efficiently during the process.

Measurements of Success

The long term vision of an Integrated Case Management System is to maximize the agency's Information Technology assets for efficient and informed business decisions on which the outcomes can be monitored and acted upon. The critical success factors associated with this effort include; cultural transformation, policy alignment, governance and standards, resources availability, sound project management policies and technology support. The work plans developed during these initiatives will be developed to align these critical success factors and as such will evaluate performance outcomes to identify areas where the NCIC IT should be expanded to support the growing needs.

The NCIC will be responsible for the development of performance measures associated with all strategic initiatives. The performance of the program will be measured against the mission and goals of sound project management practices and the success of the NCIC initiatives. These measures will focus on the effectiveness of the framework and identify areas for improvement.

Performance measurement will also be developed at the project level by the stakeholders involved in the development of business applications. Each area will develop their own set of measures which will report the success of their strategic initiatives and identify areas for continuous improvement.

The performance metrics for both the program and projects will be reviewed on a regular basis and reported annually.

Time frame for Scheduling of Initiatives

The conversion of our document repository from an outside vendor to Documentum will end in December 2008. In January 2009, the planning and scheduling of the other initiatives will begin. We will begin scheduling the Initiative 1 through doing project initiation and using sound project management principles.

The system will be created using an iterative methodology. This plan will be updated as knowledgeable project schedules are developed.